



## **SECURITIES – BROKER-DEALER AGENTS**

Buys and sells securities in investment and trading firms, or calls upon businesses and individuals to sell financial services. Provides financial services, such as loan, tax, and securities counseling.

**OES - SOC Code: 41-3031**

### **Fees:**

Application Fee Agent (new and renewal)	\$50.00
Broker Dealer (new and renewal)	\$100.00
Investment Adviser (new and renewal)	\$75.00
Renewal Date	December 31 of each year
Number Licensed in Utah	76,241

**Qualifications for license:** [Utah Code Section 61-1-3](#)

**For more information:** [Utah Uniform Securities Act](#)

Please note that licensing requirements change periodically. Therefore, please refer to the official application for license to obtain the most current license requirements for each occupation. [Applications](#) can be obtained by calling (801) 530-6600.

### **Regulatory Agency:**

Heber Wells Building  
Utah Division of Securities  
160 East 300 South, 2nd Floor  
Salt Lake City, Utah 84114  
Phone No. (801) 530-6600  
Fax No. (801) 530-6980  
<http://www.securities.state.ut.us>

### **Professional Associations & Organizations:**

North American Securities Administrators  
Association, Inc. (NASAA)  
10 G Street, NE Ste 710  
Washington, DC 20002-4251  
Phone No. (202) 737-0900  
Fax No. (202) 783-3571  
<http://www.nasaa.org/>



### **Department of Workforce Services**

140 East 300 South Salt Lake City, Utah 84111 1-888-920-WORK [jobs.utah.gov](http://jobs.utah.gov)

A proud member of America's Workforce Network. Equal Opportunity Employer/Program.

Auxiliary aids and services are available upon request to individuals with disabilities. Call (801) 526-9240. Individuals with speech and/or hearing impairments may call the state relay by dialing 711. Spanish Relay Utah: 1-888-346-3162.